

SUBJECT:	Fermilab Assessment Manual – Chapter 4 Independent QA Assessment Procedure – Form 2	NUMBER:	3902.1004 FORM 2
RESPONSIBILITY:	Quality Assurance Manager	REVISION:	001.4
APPROVED BY:	Head, Office of Quality and Best Practices	EFFECTIVE:	11/15/2011

Fermilab Independent QA Assessment Report	
Assessment Number & Title: 12-QA-004 TD - Procurement	Version: 1
Date(s) of Assessment: 11/28/11 – 12/1/11	
Performing Organization: Office of Quality & Best Practices	
<p>Assessed Organization(s): Technical Division (TD) including the following:</p> <ul style="list-style-type: none"> Quality and Materials Department (QMD), Acquisition Group Headquarters (HQ), ES&H group Machine Shop Test and Instrumentation (T&I) Department <p>The Acquisition Group of the Quality and Materials Department is responsible for initiating procurement of parts, tooling, supplies, and fabrication services. Machine shop personnel fabricate parts through turning, milling, machining, and welding. The electrical technical support organization develops technologically advanced instrumentation and control solutions. ES&H personnel are responsible for ensuring processes are conducted in the safest manner.</p>	
<p>Assessment Activities & Scope:</p> <p>Implementation and effectiveness of controls for procurement described in IQA chapter 7 and TD requirements were examined via interview, observation, and document review in the above organizations.</p> <p>Scope Limitations:</p> <p>Inspection and Acceptance Testing, Suspect/Counterfeit Items (S/CI) and BSS procurement activities were excluded.</p> <p>Activities Reviewed Within this Assessment:</p> <ul style="list-style-type: none"> Material Acquisition Electrical Technical Support Machine Shop Management Environment, Safety, and Health (ES&H) <p>Description of the Implementation & Effectiveness of Observed Activities:</p> <p><u>Procurement</u></p> <p>The requirements of IQA Chapter 7, Procurement, are met and are effectively implemented within the Technical Division. The assessment concentrated on the Acquisition Group of the Quality and Materials Department (QMD) since this group is responsible for initiating a broad range of procurements. Machine shop personnel were interviewed to determine how purchase requisitions (PRs) are processed in their organization. The electrical technical support organization was interviewed to determine how product requirements are communicated by them to personnel who initiate procurements. ES&H personnel were interviewed to determine how NEPA and ES&H reviews of procurements are performed.</p>	

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A total of 18 purchase requisitions and ProCard orders were examined with purchase amounts ranging from under \$1,000 to over \$700,000. Types of purchases examined included electrical parts and instruments, machined parts, SRF cavity assembly, chemical processing, and sculpture repair. These PRs were examined for approval signatures, ES&H/NEPA reviews, and documentation of product or service requirements. All PRs reviewed contained the correct signatures, had evidence of ES&H/NEPA review, and had sufficient requirements to allow the correct product or service to be procured. These requirements ranged from part numbers to a hand drawn sketch (File01) to a 13 page Fabrication Specification (File02) to a memorandum of Understanding (MOU) and associated addendum containing a statement of work. All requirements examined were documented to a level commensurate with the complexity of the item or service being purchased.

The requirements of TD-2202, Flow of Requisitions Handled by the Quality and Materials Department and of TD-2203, Task Order Policy and Procedure were examined and verified. The requirements included procedures for initial release, routing of requisitions to procurement, machine shop, or task order fabrication, and task order bids. Supplier evaluation is performed by the Quality and Materials Department. An example of documented supplier evaluation observed by the team is attached as File03. A list of Task Order Shops is included as File04 and a list of Machine Shop vendors is attached as File05.

The procedure described in TD-4100, ES&H and NEPA Procurement Review, was examined and verified. All PRs examined contained either a signed “ES&H Review Pre-Qualified item” stamp (File06) or a signed “ES&H review NEPA Compliance” stamp (File07). Pre-qualified stamps were all signed by the Acquisition Supervisor while NEPA compliance stamps were all signed by NEPA-trained TD ES&H personnel. A Project Information Form (File08) was examined for a PR that had potential environmental impact. The associated Department of Energy approval letter (File09) was also observed for this PR.

Training records indicate that all members of the QMD Acquisition group have taken required procurement training, TD004100, “TD ES&H and NEPA Review Process”, as well as FN000472, “Sustainable Acquisition”. Training records also show that all members of the TD ES&H group have taken required procurement training, FN000194, “NEPA Review Training”, as well as FN000472, “Sustainable Acquisition”. An ES&H interviewee stated that the TD ES&H group teaches TD004100.

Conclusions:

Documented TD procurement procedures are being followed, as well as FESHM documented procurement review procedures. Review of a representative sample of procurement records show 100% compliance with requirements. Documentation of product and service requirements for procurements is commensurate with the complexity of the item or service being procured. Records show that all QMD and ES&H personnel have taken required procurement training.

Findings:

None

Observations and Recommendations:

1. **Observation:** An interviewee showed the assessment team a draft version of the Purchase Requisition Flow procedure instead of the official, controlled version.
Recommendation: Remind personnel to access only the controlled versions of procedure

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documents.

2. **Observation:** In TD-4100, ES&H and NEPA Procurement Review, section 2.6.3, it was unclear to the assessment team what value should be entered into the “CX disposition” field of the ES&H review NEPA compliance stamp. (It was clear to the ES&H interviewee who uses the stamp).
Recommendation: Clarify section 2.6.3 of TD-4100. (This document and specifically section 2.6.3 is currently being updated.)

Commendable Practices:

None

Although no commendable practices were observed, the assessment team would like to acknowledge that two of the three TD procurement procedures have been updated this year and the third is currently being updated. The team also noted that of all the procurement records they examined, they found no errors or omissions.

Persons Interviewed:

Linda Alsip
Daniel Eddy
Ed Hagler
Beth Karau
Sherri Larson
Paul Olderr
Bridget Scerini
John Zweibohmer

Documents Reviewed:

- TD-2010, Technical Division Quality Management Program version 3
- TD-2202, Procedure for the Flow of Requisitions Handled by the Quality & Materials Department version 2
- TD-2203, Task Order Policy and Procedure version 3
- TD-4100, ES&H and NEPA Procurement Review revision 5
- FESHM 5010, Environment, Safety and Health And National Environmental Policy Act Procurement review revision 10/06
- FESHM 5011, Sustainable Acquisition revision 01/2011
- FESHM 8022, Waste Minimization and Pollution Prevention Awareness Program revision 4/2011
- FESHM 8060, National Environmental policy Act (NEPA) Review Program revision 1/2011
- Fermilab Procurement Card (ProCard) User’s Guide revision 12/10

Attachments:

- File01 - Sketchmhs110208
- File02 - 650spec
- File03 - supplierevaluation
- File04 - taskordershops

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- File05 - machinshopvendorlist
- File06 - TDprequalstamp
- File07 - TDNEPAstamp
- File08 - NEPAPIF
- File09 - NEPAPIFDOEapproval

Standards, Regulations, and Other Program Requirements Applied:

The specific criteria applied to this assessment were:

- 1001, IQA revision 1, Chapter 7, Procurement
- Fermilab Procurement Policies & Procedures Manual (including appendices and attachments) revision 09/07/2011

Corrective Action Plans Issued:

None

Assessors' Names (asterisk indicates team leader):

- Bakul Banerjee - CS
- John Martzel* - OQBP
- Mike Pakan (observer) - OQBP

Submitted by: John Martzel

Date: 12/15/2011

Distribution (Distribute to assessed organizations' management, OQBP head, and other interested parties):

Jamie Blowers
John Zweibohmer
Adam Bracero

Jed Heyes
John Martzel
Bakul Banerjee
Mike Pakan

Appendix 1: Procurement Records reviewed

PR224414
PR224692
PR225971
PR227208
PR227443
PR227912
PR228856
PR229230
PR229451
PR229462
PR230111
PRN143535

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PO602089
 PO602692
 MSV2999
 MSV3000
 MSV3006
 MSV3010
 MSV3015
 MSV3169
 ECO10029
 ER8658
 ER9810
 ER10052
 ER10651